

APPENDIX III.B
CIRCULAR LETTER OF BANK INDONESIA
NUMBER 17/31/DPSP DATED 13 NOVEMBER 2015
CONCERNING
OPERATION OF SECURITIES ADMINISTRATION
THROUGH BANK INDONESIA-SCRIPTLESS SECURITIES
SETTLEMENT SYSTEM

**SCOPE OF SECURITY AUDIT CONDUCT
OF BI-SSSS PARTICIPANT**

The scope of the audit at minimum shall cover the following matters:

1. Governance

Audit toward the governance function in its relation to BI-SSSS participation, includes:

a. Human Resources

The aspect of Human Resources to be audited shall cover observations toward the quality of human resources in the operational work units of BI-SSSS, both from the aspect of competency and track record compared to the set requirements. Human resources competence includes the understanding of BI-SSSS operational technique in accordance with its duties and authorities. Audits toward track records are meant to ensure that the human resources given the authority to perform the functions in BI-SSSS have a good morality. Besides, it should be known that the trainings provided to employees are a means to improve the employees' competence.

b. Legal

The aspect of legal to be audited shall cover the quality of contract/agreement with vendor/supplier of system and supporting apparatus of BI-SSSS compared to the internal regulation of Participant and Bank Indonesia regulation concerning BI-SSSS.

2. Environment

Audit toward the environment where BI-SSSS located, includes:

a. Power

This aspect shall explain the condition of the power used and ensure that Participant should have Uninterruptible Power Supply (UPS) that functions well.

b. Air Conditioning

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This aspect explains the condition of the air conditioning used by Participant.

c. Fire handling

This aspect explains procedures for preventing, detecting, and fighting of fire.

d. Location/placement for the complete Information Technology (IT) equipment (Server SPP, Workstation, and printer) in the room.

This aspect explains how the placements of the IT equipment in the room.

e. Room location in the building

This aspect explains how the room location should be in the building, in relation to the security required.

f. Access to enter the room

This aspect explains the control of Participants toward the employees entering the SPP Main Server, SPP Backup Server, and Workstation room.

3. System

Audit toward the configuration and condition of BI-SSSS (SPP Main Server and SPP Backup Server) and other relevant system, covers:

a. Hardware

This aspect explains the configuration of BI-SSSS hardware among others SPP Server, SPP Workstation, printer, including compliance of Participants with meeting the minimum PC requirements used.

b. Software

This aspect explains applications installed in SPP, reliability of operating system (including upgrade repair/patch), encryption in connected to internal system, password control, and antivirus used.

c. Data Communication Network Device

This aspect explains the configuration of data communication network of BI-SSSS in Participants including the connection/linkage with other system (completed with network image), condition of network wiring as well as active and passive devices of network (among others hub, router, and modem).

4. Backup System

a. Availability

This aspect explains the audit on the availability of SPP Backup Server, communication system, and backup data.

b. Audit of Function

This aspect explains the audit toward the function of SPP Backup Server, communication system, and backup data as well as fulfillment of minimum needs for processing transactions in Emergency Situations. Documentation of the audits should be performed in case backup system test is conducted.

5. Disaster Recovery Plan (DRP)

This aspect explains the audit toward the availability of adequate DRP as well as the periodical DRP and DRP updates that should be conducted in accordance with the development.

6. Data and Documentation

Audit toward data management, data processing, and required documentation, which includes:

a) Data integrity

This aspect explains the audit toward the accuracy, reliability and completeness of data according to the needs.

b) Log book

This aspect explains the audit toward the availability of log books in order to know any operating error of BI-SSSS, and which should be administered well.

c) Documentation of the results of transactions and backup transactions

This aspect explains the audit toward the management of transaction and backup transaction results in the form of softcopy and hardcopy.

d) Administration/documentation of main SPP and/or backup SPP trial results

This aspect explains the audit toward documentation administration of main SPP and/or backup SPP trial results.

BANK INDONESIA,

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